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United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects
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Note verbale dated 27 June 2001 from the Permanent Mission of Sweden to the United Nations, on behalf of the European Union, addressed to the Department for Disarmament Affairs of the United Nations Secretariat, transmitting the annual report on the implementation of the EU Joint Action of 17 December 1998 on the European Union's contribution to combating the destabilizing accumulation and spread of small arms and light weapons (1999/34/CFSP) and the EU Programme on illicit trafficking in conventional arms of 1997

The Permanent Mission of Sweden to the United Nations presents its compliments to the Department for Disarmament Affairs of United Nations Secretariat and has the honour to transmit, on behalf of the European Union (EU), the annual report on the implementation of the EU Joint Action of 17 December 1998 on the European Union's contribution to combating the destabilizing accumulation and spread of small arms and light weapons (1999/34/CFSP) and the EU Programme on illicit trafficking in conventional arms of 1997 (see annex).

The Permanent Mission of Sweden to the United Nations requests the Secretariat to circulate this report to delegations of the United Nations as a document of the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, to be held from 9 to 20 July 2001.

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Annex

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Annual report on the implementation of the EU Joint Action of 17 December 1998 on the European Union's contribution to combating the destabilizing accumulation and spread of small arms and light weapons (1999/34/CFSP) and the EU Programme on illicit trafficking in conventional arms of June 1997

INTRODUCTION

On 26 June 1997, the EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms was adopted by the General Affairs Council of the European Union, and on 17 December 1998, the Council adopted a Joint Action on the European Union's contribution to combating the destabilising accumulation and uncontrolled spread of small arms and light weapons. Since then, the member States have gained considerable experience in addressing the scourge of small arms and light weapons through specific actions in various affected regions of the world.

In pursuing the objectives of the Joint Action, the EU has enhanced its efforts to build consensus in regional and international fora (e.g. the United Nations and the Organisation for Security and Co-operation in Europe) and among affected States. The EU has participated actively in the preparations for the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (New York, 9-20 July 2001), as well as in the negotiations of the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition supplementing the United Nations Convention against Transnational Organised Crime, adopted by the UN General Assembly on 31 May 2001. The EU has also had many bilateral contacts in the framework of political dialogue.

This report is structured in three parts. Part I covers the national efforts to address the problems related to small arms in the member States, such as inter-agency co-operation, newly enacted legislation and support for relevant research. Part II deals with international measures, such as assistance to projects conducted by international or regional organisations, or non-governmental organisations, assistance to affected states, and organising international conferences. EU co-operation with other states is also included in Part II. Finally, in Part III the priorities for a more systematic approach to EU assistance in the field of small arms and light weapons (SALW) are discussed.

The scope of this report is, in principle, limited to the year 2000. However, since it is the first report under the Joint Action, it also contains some information on prior activities. As a background, the Joint Action and the Programme are summarised below.

The Associated Countries of Central and Eastern Europe and Cyprus and the EFTA Countries Members of the EEA have aligned themselves with this Programme and the Joint Action.

The Joint Action (1999/34/CFSP) on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons

The EU adopted a Joint Action (JA) on small arms on 17 December 1998. The JA proposes a series of objectives, principles and measures that apply to all countries. It also calls upon the EU to contribute to specific actions in support of the JA's objectives. The objectives include combating the destabilising accumulation and uncontrolled spread of small arms, contributing towards the reduction of existing accumulations to levels consistent with legitimate security needs, and helping to solve the problems caused by such accumulations.

In order to realise these objectives, the EU has pledged to work towards building consensus in the relevant international fora, for the realisation of a series of principles and measures aimed at preventing the further destabilising accumulation of small arms. These include:

- A commitment by all countries to import and hold arms only for their legitimate security needs, and by exporting countries to supply small arms only to governments, in accordance with appropriate international and regional restrictive arms export criteria, as provided in particular in the EU Code of Conduct on Arms Exports;
- The establishment and maintenance of national inventories of weapons owned by state authorities, and the establishment of restrictive national arms legislation for small arms;
- The establishment of confidence-building measures, including measures to promote increased transparency and openness. This could be achieved through regional registers on small arms, and regular exchanges of available information on exports, imports, production and holdings of small arms, and on national arms legislation;
- Combating illicit trafficking of small arms through the implementation of effective national controls of arms transfers;
- Challenging and reversing "cultures of violence" by enhancing public involvement through public education and awareness programmes.

Furthermore, the EU will aim at building consensus at regional and international levels for a series of measures aimed at reducing existing accumulations of small arms. Such measures could include:

- Assistance to countries seeking to control or eliminate surplus small arms on their territory;
- Promotion of confidence-building measures and incentives to encourage the voluntary surrender of surplus or illegally-held weapons, the disarmament and demobilisation of combatants and their subsequent rehabilitation and reintegration into civil society;
- The effective removal of surplus small arms to safe storage, as well as their quick and effective destruction, preferably under international supervision;
- The rendering of assistance through appropriate international organisations, programmes and agencies as well as regional arrangements.

In this respect, the EU has undertaken to provide financial and technical assistance to projects which make a direct contribution to the realisation of the above mentioned principles. These include

programmes and projects conducted by the UN, the International Committee of the Red Cross, other international organisations and regional arrangements, as well as NGOs. The projects might include, inter alia, weapons collection, security sector reform, and demobilisation and reintegration programmes, as well as specific victim assistance programmes.

The EU Programme for Preventing and Combating Illicit trafficking in Conventional Arms

The EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms was adopted by the General Affairs Council on 26 June 1997.

The Programme seeks to address the problems of illicit trafficking in conventional arms, particularly small arms, both within the EU and in countries affected by illicit trafficking in small arms. The programme consists of three main parts. The first part suggests the fostering of enhanced law enforcement co-operation and improving information exchange on illicit trafficking. The second part encourages the EU and its member States to assist other countries in preventing and combating illicit trafficking of arms, e.g. by strengthening laws and administrative measures for regulating and monitoring the transfers of arms, and providing an adequate number of appropriately trained police and customs officials for the enforcement of national arms export control legislation. The third part of the programme outlines ways for the EU and its member States to assist affected countries, especially in post conflict situations, in suppressing the illicit circulation and trafficking of arms, e.g. by setting up weapons collections, buy-back and destruction programmes, and setting up educational programmes to promote awareness among the local population of the negative consequences of illicit trafficking in small arms.

A first annual report on the Programme was published on 8 July 1998, and a second on 19 January 2000. The reporting procedure under the Programme is now co-ordinated with that of the Joint Action. Thus, the present report covers the Programme as well as the Joint Action.

PART I NATIONAL EFFORTS TO ADDRESS SMALL ARMS RELATED PROBLEMS

I.A Co-operation, co-ordination and exchange of information between administrative and law enforcement agencies etc

As regards co-operation, co-ordination and exchange of information between administrative and law enforcement agencies, and other similar measures, the member States have provided the following information.

In **Ireland**, the police service co-operates with the Irish Customs and Excise Authorities and the Irish Armed Forces in their efforts to enforce firearms legislation. Forensic testing and tracing of all seized firearms is carried out centrally by Garda Headquarters.

In **Sweden**, police authorities co-operate with the Customs Authority, the National Inspectorate of Strategic Products, and the Swedish Armed Forces in addressing the problems of illicit arms trafficking and the presence of illegal arms. In the normal process of investigating arms violations, authorities assist each other as a matter of routine. The National Laboratory of Forensics maintains a Weapons Reference Library, and also a library with firing test data relating to seized weapons. Sweden is, together with **Denmark** and Norway, developing a Nordic Weapons Trace Database.

In **Italy,** an Ad Hoc Group on Small Arms and Light Weapons, co-ordinated by the Ministry of Foreign Affairs, was established in June 2000. This Group includes representatives of all relevant Ministries and law enforcement agencies, as well as a representative of the National Industrial Association of Arms Producers. A useful dialogue on SALW has also been initiated by the Ministry of Foreign Affairs with some Italian NGOs. The Ministry is, furthermore, supporting a study on the Italian production and export of SALW, to be completed by the beginning of the UN Conference on small arms.

In **Spain**, law enforcement agencies organise yearly courses on weapons and explosives and their criminal use, a well as seminars to share and update information on this issue, and information on technology applied to weapons and explosives. A new computer based system, shared by the different law enforcement agencies and designed to identify weapons suspected of being linked to crimes, became operative in early 2000.

In the **United Kingdom**, an inter-departmental Small Arms Policy Committee was established in 1997 under the chairmanship of the Foreign and Commonwealth Office. The Committee meets quarterly to monitor and coordinate policy developments on SALW issues. There is also ongoing and regular dialogue with interested NGOs on the subject.

I.B Newly enacted legislation, reviews of the practical function of existing legislation

As regards newly enacted legislation and reviews of the practical function of existing legislation, the member States have provided the following information.

In **France**, an effort to reform the law applicable to brokers and other intermediaries engaged in commercial arms and war-related materiel transactions is underway. A bill has just been approved by the Prime Minister and will be adopted in the coming months. The new legislation requires brokers to submit their activities to prior authorisation and obliges them to keep a special register containing details of their transactions. Brokers will also be subjected to periodic control by the authorities. This regime applies not only to brokers, but also to intermediaries, and goes beyond small arms and light weapons, as it concerns all arms and war-related materiel subject to national regulation.

In **Ireland**, exports of SALW are controlled under the Control of Exports Act (1983). The Control of Exports Order provides a schedule of goods that may not be exported without a licence issued at the discretion of the Minister for Enterprise, Trade and Employment. A Revised Control of Exports Order was issued in 2000 to further streamline Irish licensing requirements for exports of all items on the military list. The possession, use and carriage of firearms are regulated in Ireland by legislation contained in various Firearms Acts. Regulations with respect to the safe storage of licensed firearms are currently being reviewed.

In **Belgium**, the Minister of Justice, in 2000, elaborated a Security Plan that deals, inter alia, with small arms. A new law that will substantially modify existing legislation is scheduled to be submitted to Parliament.

In **Sweden**, possession, trade and importation of firearms are regulated by the Firearms Act and the Military Equipment Act. Certain amendments in order to further prevent firearms from being used in criminal activities, and other abuse of such weapons, were made to the firearms legislation in 2000. The new legislation stipulates, inter alia, that local police authorities are required to inspect that the provisions concerning the safe storage of firearms are adhered to. Arms dealers are not allowed to have automatic firearms in stock. An automatic firearm can only be ordered when the dealer has a licensed buyer for it. Authorisation to possess handguns and automatic firearms is limited in time to up to five years. Private citizens may hand in unlicensed firearms to police authorities, whereupon possible charges for illegal possession may be dropped.

In December 2000, the **United Kingdom** announced that it would soon publish draft legislation (the Export Control and Non-Proliferation Bill) that would, *inter alia, introduce powers to license* brokering transactions. The Bill was subsequently published in March 2001. In July 2000, the UK published its third Annual Report on Strategic Export Controls, covering calendar year 1999. This saw a new level of transparency in a Report that will become ever more specific and detailed in the future.

In **Italy,** the issue of SALW has been discussed in the Parliament, where the Committee for Foreign Affairs of the Chamber of Deputies in October approved a Resolution obliging the Government "...to take a strong stand, in all competent international fora, in support of the fight against the uncontrolled spread of small arms and light weapons..." and "...to strengthen, also at national level, the measures intended to intensify or better co-ordinate the efforts to fight against the trade of SALW...".

In April 2000, Italy published its tenth Annual Report on import, export and transit of defence equipment (both authorisations and deliveries) in accordance with Act number 185/1990. The Report, which is addressed to the Parliament but is also made available to the public, provides a large amount of information by the six ministries involved in the system of scrutiny of defence equipment exchanges.

In **Germany**, a motion to change the Weapons Act, which mainly relates to the possession and use

of weapons inside Germany, has been drafted. The draft is still under discussion. In January 2000, the Federal Government adopted amendments to the "Political Principles for the Export of War Weapons and other Military Equipment". These Political Principles are applicable to the export of all small arms and light weapons. The main amendment consists of a stronger emphasis on the human rights situation in the recipient country, which has to be taken into account when making any export decision. In addition, the importance of securing the end-use of the exported weapons was highlighted. Finally, it was stressed that the EU Code of Conduct forms an integral part of the Political Principles.

In the **Netherlands**, the maximum penalty for illegal possession of, and trade in small arms was increased in 2000. The Parliamentary Assembly further agreed to draft legislation on the transit of military items. This law is likely to enter into force during 2001.

In **Luxembourg**, existing legislation relating to small arms is currently under review.

I.C Other initiatives or activities, e.g. support for relevant research

The member States have also reported on other initiatives and activities to combat the accumulation and uncontrolled spread, and to prevent illicit trafficking, of small arms, such as support for research projects.

In **France**, the publication of the following two documents represents an effort to achieve greater transparency, aiming to reach a large public.

(a) The Defence Minister's Report to Parliament on French exports of military related materials in 1999. This report sets out to Parliament, and, more generally, to the public, the position of France, and her actions on the international level regarding the fight against the proliferation and uncontrolled circulation of small arms and light weapons. The report makes a substantive attempt to increase transparency by indicating, by country of origin, the number of prior exports authorisations, by categories defined by the Joint Action of the European Union. Notably, it provides information concerning remunerated and non-remunerated transfers that

were effected in 1999 by the Ministry of Defence, particularly with regard to small arms and light weapons. It should also be noted that the separation between the function of export promotion and that of control has been reinforced.

The report is available on the internet, at http://www.defense.gouv.fr, under the heading "actualité", and "tous les dossiers en ligne".

(b) The brochure "Arms control, disarmament and non-proliferation: French Policy" published in 2000, available in French and in English, deals with the issue of SALW. Extensively distributed, it contributes to making French action in this area available to a wide audience.

Sweden has supported the following projects at the Stockholm International Peace Research Institute (SIPRI):

- "Military Expenditure Data for African Countries", SKr 1 million;
- "Conflicts and Small Arms Transfers", SKr 480,000. This project is in co-operation with the Swiss-based "Small Arms Survey";
- "Internet Database on European Conventional Arms Export Controls", SKr 1.5 million. The purpose of the project is information and verification of the EU Code of Conduct on Arms Exports, with a focus on East and Central Europe;
- "Conflict Prevention, Management and Resolution in Africa", SKr 500,000. This is a part of the SIPRI "Conflict Prevention and Armed Responses" research programme.

In the **Netherlands**, an exhibition on SALW was organised at the Ministry of Foreign Affairs in The Hague, in January 2000. From 1-12 November 2000, the Ministry of Justice organised a campaign to collect illegal firearms amongst civilians, through exemption from the usual penalty. The collected firearms will be destroyed. Some have already been destroyed symbolically - they were crushed with a road roller.

In **Denmark**, the defence authorities have destroyed 30,300 machineguns and 14,400 rifles between 1989 and 2000,as a follow-up to the UN General Assembly resolution "Illicit traffic in small arms".

In December 2000, the **United Kingdom** mounted a "Focus International" paper on SALW on the Foreign and Commonwealth Office website, setting out UK involvement in the SALW debate.

PART II EFFORTS AT THE INTERNATIONAL LEVEL TO ADDRESS SMALL ARMS RELATED PROBLEMS

In the international field, actions are taken by both the EU and the individual Member States. The following information has been provided.

II.A EU action

The EU is active both as regards assistance to and co-operation with states and international and regional organisations.

II.A.1 *Projects supported by the EU*

The European Union has taken the following actions as regards technical, financial and other assistance given to projects conducted by the UN, the ICRC, other international organisations and regional arrangements, and NGOs, as well as to other states, especially those in affected regions:

On 10 May 1999, the Council adopted an implementing Decision (1999/320/CFSP)[1] of the Joint Action on a European Union contribution to the collection and destruction of weapons in *Albania*. This decision aimed at contributing to promoting the collection and destruction of weapons in the Gramsh district in Albania. The EU contribution of EUR 500.000 was allocated to the disarmament component of the UN DDA and UNDP pilot project. Furthermore, the Council amended the Decision on 17 December 1999 (1999/846/CFSP)[2] in order to extend the project to Elbasan and Peskopja districts of Albania. On 5 April 2000, the UNDP informed the EU Commission that it was unable to fulfil the terms of a draft contract proposed by the Commission in accordance with the implementing Decision. For this reason the Council decided to repeal the two decisions on 20 November 2000 [3].

[1] OJ L 123 of 13.5.1999, p. 12
[2] OJ L 326 of 18.12.1999, p. 74
[3] OJ L 292 of 20.11.2000, p. 2

On 17 December 1999, the Council adopted an implementing Decision (1999/845/CFSP)[4] of the Joint Action, with a view to an EU contribution to combating the destabilising accumulation and uncontrolled spread of SALW in *Mozambique*. With this Decision, the EU contributed to the location, collection and destruction of weapons in Mozambique through the joint cross border operations between the South African Police and the Mozambique Police (Operation Rachel). The EU provided EUR 200,000 for the support of the South African Police Service, which was acting as an implementing agency, in the acquisition of fuel, air support, explosives and accessories as well as ration packs and daily allowances. The project will be successfully completed during the first half of 2001.

On 15 November 1999, the Council adopted the Decision 1999/730/CFSP implementing the Joint Action, with a view to an EU contribution to combating the destabilising accumulation and uncontrolled spread of small arms and light weapons in *Cambodia*[5]. With this decision, the EU contributed EUR 500,000 to promoting control, collection and destruction of weapons in Cambodia. A Project Manager, H.J. van der Graaf, was appointed to carry out the project. He has been based in Phnom Penh. The Decision expired on 15 November 2000, but the Council decided to extend the mandate of the project manager and adopted a new Decision 2000/724/CFSP[6] on 20 November 2000. This Decision will provide a further EUR 1,300,000 to the project, which is conducted in close co-operation with the government of Cambodia.

On 14 December 2000, the Council adopted an EU contribution of EUR 90,000 to the local police forces in *South Ossetia*, for a programme aiming at granting them equipment for the collection and destruction of SALW. This contribution is meant to influence public opinion in favour of civil disarmament, to consolidate and develop participation of civil society in the process of arms collection and destruction and to create a climate of security and reconciliation among populations.

On 12 March 2001, the Council adopted an EU contribution to combating the small arms problem

[4] OJ L 326 of 18.12.1999, p. 73
[5] OJ L 294 of 16.11.1999, p. 5
[6] OJ L 292 of 21.11.2000, p. 3

in Latin America and the Caribbean, through the projects of the *United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean*, located in Lima (Peru). This contribution seeks to help the Centre in its training activities for customs and police officials, by means of appropriate instruction and in its project of making available equipment that permits the creation of databases on the accumulation of SALW in this region. The EU contribution amounts to EUR 345,000.

II.A.2 EU co-operation with other states

At the EU-U.S. Summit of 17 December 1999, it was decided to establish a Working Group on SALW for regular exchanges at the expert level with a view to increasing co-operation and information sharing and evaluate progress achieved by the EU and the U.S. on small arms issues. The Group meets at least once during each EU Presidency. At its meetings, in December 2000 and June 2001 it has been focusing on the UN 2001 Conference. As part of the preparations for that Conference, the EU Troika has had a number of informal meetings with the U.S.

Following the EU-Canada Summit Declaration on the Establishment of a Joint Working Group on Small Arms of 16 December 1999, the Working Group has met every six months, lately focusing, inter alia, on the preparations for the UN 2001 Conference. The Working Group met in December 2000 and May 2001. Informal meetings with Canada have also been held. An EU-Canada Workshop entitled "Small Arms and Light Weapons Destruction in the Context of Peace Support Operations" was held in Ottawa 15-16 May 2001.

In 1998, the EU and the Southern African Development Community (SADC) adopted the regional Action Programme on Light Arms and Illicit Trafficking, providing a framework for action as regards, inter alia, illicit trafficking, strengthening of legal controls of arms transfers, removal of arms from society and enhancing transparency. In 1999, an EU-SADC Working Group on small arms was established, which met for the first time in June 2000. During its second meeting in April 2001, the Working Group discussed areas of concrete co-operation and the preparations for the UN 2001 Conference.

In the margin of the Multi-Disciplinary Group (MDG), meetings have been held between the EU member States and a number of the G-8 countries, as well as Mexico, as part of the preparations for the negotiations on the UN Firearms Protocol.

II.A.3 Internal EU co-operation

Within the framework of the Third Pillar Police Co-operation Working Group (PCWG) operational project against illicit arms trafficking, "Project Arrow", member States' police authorities and customs services are co-operating. The purpose is to achieve the objective of a joint EU strategic summary review and analysis of illicit trafficking in arms. "Project Arrow" which is co-ordinated by Finland, was implemented as a joint operation against illicit arms trafficking, and was realised in the form of a joint European action on 13-26 November 2000.

II.B Member State action

The EU member States are providing financial, technical and other forms of assistance to projects run by the UN, by other international or regional organisations, and by NGOs. In addition, the member States are supporting affected states directly.

II.B.1 Member State support to UN projects

The member States have provided support to the following projects under the auspices of the UN.

France has implemented measures of financial assistance of FrF 3 million for PCASED (the Programme for Co-ordination and Assistance for Security and Development, implemented by the UNDP), and FrF 2.5 million, over five years, for the United Nations Regional Centre in Lomé.

Sweden has made the following contributions to UN projects related to SALW:

- SKr 350,000 for the completion of the UN Lessons-Learned Unit "Monitoring the Implementation of the Principles and Guidelines on Disarmament, Demobilisation and Reintegration of Ex-Combatants" consultant project;

- US$ 5,000 to fund the printing of the "Disarmament, Demobilisation and Reintegration of Ex-Combatants in a Peacekeeping Environment" report by the UN Lessons-Learned Unit;
- US $ 15,000 to the UNIDIR "Peace Building and Practical Disarmament in West Africa" project, which is linked to PCASED;
- US$ 20,000 to the UN Regional Centre for Peace and Disarmament in Africa, based in Lomé, for the establishment of a clearing house for combating illicit trafficking in small arms;
- SKr 4 million to the UNDP "Arms for Development" project in Elbasanj, Albania;
- US$ 350,000 to the implementation of the ECOWAS Moratorium on the import, export and manufacture of small arms, through the UNDP Programme for Co-ordination and Assistance for Security and Development (PCASED). Support will continue during 2001 (the total Swedish contribution to PCASED amounts to US $ 1 million, which places Sweden among the top donors to the Programme).

Sweden is also contributing a Junior Professional Officer to the Lima based UN Regional Centre for Peace, Disarmament and Development in Latin America, and US $ 20,000 for training of Police and Customs personnel, and for the establishment of a Regional Clearing House for Firearms;

In addition, the Swedish National Defence College has, in co-operation with the UN Department for Peacekeeping Operations, contributed to international courses in "Disarmament, Demobilisation and Reintegration of Ex-Combatants (DD&R)" in Zimbabwe, Canada, Sweden and Ghana, using a curriculum put together by representatives from the Lester B. Pearson Peacekeeping Centre of Canada, the Norwegian Armed Forces International Centre, and the Swedish National Defence College. The first course in Sweden took place in September 2000, and drew around 20 international participants, who represented the military and various governmental and non-governmental organisations. The objective of the course was to give a comprehensive view of peace support missions in order to increase the understanding of activities and programs needed for peaceful development, as well as to share experiences from the field. A second course was given in June 2001. The Swedish Government has awarded SKr 850,000 in support of this project.

Belgium has supported a UNIDIR-project on the role of civil society in control of small arms in Western Africa.

Germany has supported the following UN projects with regard to "Disarmament, Demobilisation and Reintegration of Ex-Combatants (DD&R)":

- UNICEF project in Sierra Leone for the reintegration of children: DM 890,000;
- UN Mission in the Central African Republic (MINURCA) demobilisation and reintegration programme in the Central African Republic: USD 330,000;
- UN Department for Disarmament Affairs (UN DDA) fact-finding mission in Niger for a "Weapons in exchange for development"-project: USD 61,000;
- UN Regional Centre for Peace and Disarmament in Africa (Lomé) Programme for peace and disarmament in Africa: USD 49,000.

The **Netherlands** contributed NLG 50,000 to the UN Regional Centre in Lima for a project in Latin America and the Caribbean to train police and customs personnel.

Denmark has provided US$ 5,000 to UN DDA for the preparation and printing of "Practical Disarmament Measures. A Reference Paper". This reference tool describes the origins, the mandate and the evolution of the practical disarmament measures approach to addressing specific situations, puts forward a set of considerations for evaluating project proposals, and sets up a sample design for formulating project proposals

Finland has contributed EUR 12,500 to UNIDIR for a small arms trafficking project and EUR 8,350 to the United Nations Disarmament Information Programme for a project on small arms information.

The **United Kingdom** has so far provided £ 1,365,000 for the UN weapons collection programme in Albania, which includes £ 610,000 through the United Nations Development Programme for its pioneering project Weapons in Exchange for Development. The United Kingdom, further, has provided £ 300,000 to the Programme for Co-ordination and Assistance for Security and Development (PCASED), which seeks to implement the ECOWAS Moratorium and to facilitate the adoption of other measures in other regions in Africa.

II.B.2 Member State support to projects under the auspices of other international organisations, and of NGOs

As regards support to projects under the auspices of international organisations other than the UN, regional arrangements and NGOs, the member States have provided the following information.

France supports the Moratorium on the Importation, Exportation and Manufacture of Small Arms and Light Weapons in West Africa, adopted by the Heads of State and Government of ECOWAS. Furthermore, France has provided financial support of FrF 330,000 to the National Conference of Mali regarding small arms and light weapons, which took place in November 2000. French action with regard to the fight against illicit trafficking in small arms is essentially centred on bilateral co-operation. A number of efforts have been undertaken to support several African States to reinforce the operational capabilities of police and customs services within the framework of the fight against major trans-border trafficking, in which illicit arms trafficking is included (financial contribution of FrF 13 million).

France has also contributed financially and logistically to the "Seminar for the implementation and application of the regulation of the control of international movement of fire arms, their parts, components and ammunition", in Martinique, on 23-24 May 2000, organised by the Inter-American Drug Abuse Control Commission (CICAD) in the context of the Organisation of American States and the UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean, which dealt with the question of SALW.

Sweden has made the following contributions to international projects related to SALW:

- SKr 3.3 million to a World Bank project for demobilisation in Cambodia;
- US$ 300,000 to the Organisation of African Unity for regional preparations for the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects;
- SKr 1 million to the Arias Foundation for Peace and Human Progress for the development of an International Code of Conduct on Arms Transfers, and for preparations for the UN Conference on Illicit Trade in Small Arms and Light Weapons in All its Aspects.

Sweden has also supported the following research projects:

- The Graduate Institute of International Studies "Small Arms Survey" project, which aims to increase the knowledge of manufacture, transfers, stockpiling and use of small arms, and to establish "best practices" for the regions that the project focuses on, with SKr 180,000 annually. This is a Swiss project supported also by Germany, Denmark (CHF 70,000) Great Britain (£ 30,000) and the Netherlands (NLG 100,000), as well as by Canada and Norway;
- The Saferworld "Tackling the Spread of Light Weapons: Deepening Collaboration between EU Member States and Associate Countries" Programme of seminars, with SKr 200,000, February 1999 - January 2001;
- The Monterey Institute "Practical Guide for Working in Weapons-Abundant Areas: Identification, Safe Handling, Collection and Destruction", with SKr 135,000. This project is also supported by Switzerland;
- The South Africa-based Institute for Security Studies' project on the proliferation of small arms in Southern Africa, with SKr 600,000.

Belgium has supported a study on the production of arms abroad under Belgian licence by the Belgian NGO "Vrede". Belgium has also supported the project "Gun free South Africa", in co-ordination with the Belgian NGO "Broederlijk Delen". The purpose of the project is to raise the awareness in civil society regarding the negative effects of the excessive spread of small arms.

Germany has supported the "Swords into ploughshares" project in Mozambique: US$ 161,000project with regard to "Disarmament, Demobilisation and Reintegration of Ex-Combatants (DD&R)".

The **Netherlands** contributed NLG 43,000 to the publication of the guide "Tackling Small Arms and Light Weapons: A Practical Guide for Collection and Destruction" of the Program on Security and Development (SAND), the Monterey Institute of International Studies and the Bonn International Centre for Conversion (BICC). **Finland** made a contribution of EUR 8,000 to the same project.

The Netherlands further made the following contributions:

- NLG 900,000 to the joint project of the OAU/ISS on small arms.
- £ 70,000 to the joint project of Saferworld, BASIC and International Alert "Biting the Bullet".
- NLG 100,000 to the project of Saferworld "Tackling the Spread of Light Weapons: Deepening Collaboration between EU Member States and Associate Countries".

Units of the **Italian** Army participated in a number of external operations, during which the following SALW were collected or confiscated and subsequently destroyed:

The MSU-KFOR unit: 4 machine guns, 86 sub-machine guns, 28 rifles, 4 anti-tank guns, 35 shotguns, 12 grenade launchers, 71 revolvers, 5 rifle grenades, and 60 hand grenades, were handed over to the Multinational Brigade Destruction Centre.
The ITALFOR-BIH unit: 1 light machine gun, 5 automatic rifles, 2 rifles and 5 portable launchers were collected and destroyed.
The ITALFOR-KOSOVO unit: 65 light machine guns, 5 heavy machine guns, 15 mortars (14 destroyed), 43 anti-tank guns (38 destroyed), 4 grenade launchers, 8 anti-aircraft guns (5 destroyed), 870 automatic rifles (865 destroyed), 391 rifles (387 destroyed) and 31 shotguns (28 destroyed).

II.B.3 Actions taken by member States in support of affected states

The member States have provided the following information as regards technical, financial and other assistance given to other states, especially those in affected regions:

In August, the **United Kingdom** facilitated an EU-funded fact-finding visit to London by the Legal Adviser to the Deputy Prime Minister of Cambodia on UK SALW legislation. In September, the UK formally handed over a UK-made Euroshear 4000 weapons destruction machine to the Royal Swaziland Police, and provided training in its use.

In November 2000, the UK approved funding for a Small Arms Destruction Fund to begin

operation in 2001/2002 with an allocation of £140,000 for that year. UK forces continued to play a leading role in the weapons and ammunition collection programmes that form part of Operation Leatherman in Kosovo and Operation Harvest in Bosnia.

The **Italian** and Albanian Ministries of Defence have drafted a Memorandum of Understanding on co-operation, following the Agreement on Bilateral Co-operation for Defence between the Italian Government and the Albanian Government, from 1995. The agreement aims at re-organising and strengthening the Albanian Armed Forces. Italy will provide technical assistance, advice, equipment and materials in specific fields. The main goals for co-operation are stabilising and normalising the Balkan area, and providing direct assistance in re-organising the Albanian social-political framework during the sensitive transition phase of the "westernising" and "modernising" process. An Italian Experts Delegation (DIE) has been established to develop assistance and co-operation activities to assist the Albanian Armed Forces in transforming and adapting their military structures. DIE has been operating in Albania since 28 August 1997 together with Albanian experts.

Germany has supported disarmament, demobilisation and reintegration programmes (DD&R) in Angola, Chad, Ethiopia, Eritrea, Mozambique, Somalia, and Uganda. In the Philippines, the reintegration of former Muslim combatants in Mindanao is being promoted within the framework of two projects (education and family health). Discussions are currently underway concerning the provision of support to the Government of South Africa's rationalisation programme (demobilisation and reintegration) via the Institute for Security Studies (ISS). Between 1999 and 2002 funding in the amount of DM 4 million is designated for the DD&R of former combatants in Cambodia. For the integration of former combatants in Mozambique DM 13.4 million have been designated between 1994 and 2001. The DD&R of ex-combatants in Sierra Leone are being prepared in the context of a comprehensive rehabilitation and reconstruction programme amounting to DM 5.34 million.

For the development and extended application of measures to control the trade in small arms in the Horn of Africa, funding of DM 1.5 million is being provided by Germany between 2000 and 2002. For the contribution of development co-operation to reducing the uncontrolled

spread and misuse of small arms, funds amounting to DM 10 million are earmarked for the period 2001 to 2004. In addition, in applying an integrated and comprehensive approach, several development projects which have an impact on combating the small arms problem are being funded, e.g. in connection with security-sector reform, good governance and promoting advocacy through civil-society organisations.

In November 2000, Germany initiated a project aiming at the effective destruction of small arms in Albania within the framework of the "Stability Pact for Southeast Europe": From December 2000 to April 2001, 40,000 SALW have been destroyed by an expert team of the Albanian Ministry of Defence in co-operation with German specialists who provide training as well as special material and equipment. DM 500,000 has been designated for this purpose. The project is based on a Memorandum of 7 September 2000, in which the Government of Albania has committed itself "to destroy the small arms and light weapons looted during the 1997 crisis, including those that have already been collected and will be collected in the future from the civilian population".

The **Netherlands** has contributed NLG 300,000 to the OSCE Voluntary Fund for Moldova for the withdrawal of Russian military equipment from Transdniestria. The Netherlands also financed the participation of a national expert for destruction of ammunition to the OSCE Mission to Moldova.

The Netherlands has contributed to the realisation of the "Flamme de la Paix" in Niger with NLG 25,000. **Denmark** allocated DKR 145,000 to this project. **Belgium** has also contributed.

In the fall of 2000, **Finland** funded two consultants in order to prepare small arms surveys, one in Guatemala and the other in Bosnia-Herzegovina. This year, Finland is planning to implement some initiatives and recommendations given in these surveys.

The **Spanish** Guardia Civil gives technical assistance to law enforcement agencies in countries like Nicaragua, Guatemala, El Salvador, Mozambique and Timor. This assistance includes the control of small arms and explosives.

II.C Organising and participating in international seminars and conferences by Member States

The member States have provided the following information as regards organising and supporting international seminars and conferences. In addition, the EU member States have participated in numerous seminars and workshops on export controls and on small arms and light weapons.

In February, the **United Kingdom** funded the Kampala Conference on "Tackling Small Arms Proliferation in Eastern Africa and the Greater Horn", which led to an outline Action Plan for the sub-region which will tackle the subject of arms trafficking. DFID has contributed funding for follow-up meetings in connection with this Action Plan. The UK is supporting five follow-up workshops being organised by Saferworld and the Inter-Governmental Authority for Development.

Austria has contributed financially to the organisation of a regional roundtable, on 14-15 April 2000 in Tblisi, Georgia, entitled "Small Arms - Large Measures: Curbing Arms Transfers as a Conflict Prevention Strategy in the South Caucasus". The roundtable was organised jointly by the East-West Institute and by Saferworld. **Finland** was one of the moderators of the roundtable. Austria provided a keynote speaker, and **French** experts attended. Austria also provided financial assistance to two delegations for their participation at the OSCE-Seminar on Small Arms and Light Weapons, in Vienna on 3-5 April 2000 and provided a keynote speaker. The **Netherlands** and Finland provided financial assistance to three delegations for their participation. Finland provided one of the moderators. As Chair in Office of the OSCE, Austria, together with International Alert and Saferworld, organised a side event on SALW ("Tackling Small Arms - the OSCE Initiative and the UN 2001 Conference"), on 27 November 2000,on the margins of the OSCE Ministerial Meeting in Vienna.

The **Dutch** Minister of Foreign Affairs attended the EU/SADC Ministerial Meeting, held in Gaborone, Botswana on 29-30 November 2000. The Minister introduced the issue of SALW through his speech. The meeting resulted in the adoption of the EU/SADC Declaration on Small Arms. **Denmark** has given US$ 30,000 of which $10,000will be used for follow-up, **Finland**

EUR 30,000, and the **UK** £ 50,000 in support of the Great Lakes Region and Horn of Africa Conference on Small Arms, held in Nairobi on 12-15 March 2000 which was organised by the Security Research and Information Centre (SRIC) and the United Nations African Institute for the Prevention of Crime and the Treatment of Offenders (UNAFRI).

Finland organised the international workshop "Action Plan for Small Arms – goals for the 2001 UN Conference Workshop" in Saariselkä, Finland in December 2000. The workshop was organised in association with Saferworld, BASIC and International Alert and formed a part of their "Biting the Bullet" Project, in preparation for the UN 2001 Conference.

Belgium has sponsored a seminar organised by Saferworld on the control of illegal transfers with a special interest for the air transport sector.

Germany has hosted an International Policy Dialogue Conference on Development and Disarmament on 31 October to 1 November 2000, in Bonn, focussing on the SALW issue.

In February 2000, **Portugal** organised a meeting with Amnesty International on military, security and police equipment transfers, and participated in the "Controlling the flow of SALW from and through an enlarged EU" seminar organised by Saferworld.

II.D EU and member State participation in the work of international organisations and regional arrangements in the field of conventional arms, especially small arms and light weapons, and efforts to build consensus in relevant regional and international fora on the principles of the Joint Action

II.D.1 The United Nations (in particular the preparations for the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects)

Because of the importance that the EU attaches to the measures to combat the uncontrolled spread and destabilising accumulation of small arms, the EU has taken an active interest in the preparations for the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects.

The EU has put forward proposals in key areas, such as export controls and criteria; marking and tracing; brokering; stockpile management, surplus and destruction; disarmament, demobilisation and reintegration of ex-combatants; assistance for implementation of concrete measures and follow-up, in pursuit of a politically binding Programme of Action with forward looking measures at the national, regional and global level.

In July 2000, the **United Kingdom** nominated Sir Michael Weston as the UK candidate to chair the Conference, and in September, he was endorsed as the EU candidate.

In the margin of the first Preparatory Committee of the 2001 Conference, the **Netherlands,** together with Switzerland and Norway, launched the initiative of a Group of Friends to the 2001 Conference, designed to give further impetus to the Preparatory Committee process. On 28-29 September 2000, the Netherlands, together with Hungary, organised an expert workshop on destruction of SALW. This workshop resulted in a set of recommendations to the 2001 Conference, which were presented to the chair of the Preparatory Committee of the Conference. During the same Preparatory Committee session, on 29 February 2000, the Netherlands co-organised a public briefing with Saferworld, BASIC and International Alert.

France, **Belgium** and the **United Kingdom** were represented on the UN Group of Governmental Experts, established under General Assembly resolution 54/54 V. In preparation for the 2001 UN Conference, this Group carried out a study on the feasibility of restricting the manufacture and trade of SALW to persons who had been authorised by States, including in its mandate brokering activities, in particular transport and financial operations related to illicit supplies. The UK and other member States also participated actively in the work of the Geneva Group of countries working on SALW and the Conference.

In view of the 2001 United Nations Conference, **France**, in co-operation with Switzerland, presented during the First session of the Preparatory Committee for the UN Conference on Small Arms a discussion paper "Contribution to the implementation of an international action plan for the 20001 Conference: The marking, identification and the control of SALW". A seminar was organised on the issue in Geneva, on 12-13 March 2001.

The EU member States have actively taken part in the negotiations on the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transitional Organised Crime, which was adopted without vote by the General Assembly on 31 May 2001. The EU Commission had a negotiating mandate on certain articles of the Protocol. **France** has organised a working meeting of the member states of the *Francophonie* on this theme, in January 2000.

Furthermore, **Belgium**, **Finland**, **France**, **Germany, the UK** and **Sweden** have participated in the work of the United Nations Secretary-General's Group of Governmental Experts on small arms, which has produced two reports on the issue.

II.D.2 The United Nations General Assembly

Member States have taken the following positions on the resolutions relating to small arms issues, which were adopted by the General Assembly at its fifty-fifth session:

- *'Consolidation of peace through practical disarmament measures'* (55/33G)
  - Germany (tabled), EU member States co-sponsored
- *'Transparency in Armaments'* (55/33U)
  - Germany and the Netherlands (tabled), EU member States co-sponsored
- *'Illicit traffic in small arms and light weapons'* (55/33Q)
  - EU member States co-sponsored
- *'Assistance to States for curbing illicit traffic in small arms and collecting them'* (55/33 F)
  EU member States co-sponsored
- *'Relationship between disarmament and development" (55/33L)*
  adopted by consensus

II.D.3 The Organisation for Security and Co-operation in Europe

EU member States have participated actively in the work of the OSCE in the field of SALW, which has, inter alia, resulted in the adoption of the OSCE Document on SALW, at the OSCE Ministerial

Conference of 24 November 2000. The United Kingdom co-ordinated negotiations through its Chairmanship of Working Group B of the Forum for Security Co-operation. The Document is a significant regional contribution to combating the proliferation and misuse of SALW and a major confidence-building step towards the 2001 UN Conference. The United Kingdom has also provided support to the OSCE Secretariat in this context.

II.D.4 The Economic Community of West African States

Sweden is represented in the PCASED Advisory Group. See further section II.B.2 above on member States' financial support for ECOWAS and PCASED.

II.D.5 The Wassenaar Arrangement

The EU member States participated actively in the work of the Wassenaar Arrangement. For example, the **United Kingdom** has encouraged on-going discussion in the Wassenaar Arrangement about the desirability and feasibility of including SALW transfers in the information exchanges between Participating States.

II.D.6 Southern African Development Community

In regular bilateral contacts with SADC States, including at ministerial level, the **United Kingdom** has supported efforts to bolster the EU/SADC process and the implementation of the EU/SADC Regional Action Programme.

II.D.7 The Euro-Atlantic Partnership Council and the North Atlantic Treaty Organisation

EU member States participate actively in the work of the EAPC. Until May 2000, the UK chaired the EAPC/NATO Ad Hoc Working Group on SALW.

II.D.8 Other

The issue of SALW is regularly dealt with in the political dialogue meetings at expert level with the Associated Countries.

PART III PRIORITIES FOR THE FUTURE ASSISTANCE OF THE EUROPEAN UNION

III.A Priority guidelines

The EU can make an important contribution towards eradicating the problems caused by destabilising and uncontrolled spread of SALW. Working towards the elimination of this source of destabilisation and conflict will be a great contribution to preventing future conflicts. The actions already taken by the EU represent important steps in this regard and should be followed up by determined efforts in the same direction. The adoption by the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, of a Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects would add to the commitment taken earlier by the EU through its Joint Action on small arms.

With a view to improving and deepening the implementation of the Joint Action and the Programme, member States have identified a number of guidelines on issues on which decisions should be taken or to which attention should be given in the near future. These guidelines will obviously be subject to periodical reviews, according to the experience accumulated in the process of implementing EU projects

III.B The need for a comprehensive approach

Although there is a wide recognition that further international actions should be taken to deal with the problems of SALW, there are many complex factors and processes that need to be taken into account, such as international and internal security, trade, civil-military relations and the role of weapons in society. These problems cannot be solved by one quick fix. They must be addressed

through a comprehensive approach dealing with the different aspects of the problem – which might differ from region to region - and the solutions must be sought through a wide range of agreed measures. Member States agreed that such efforts should aim both at the reduction of existing destabilising accumulations and at the prevention of further uncontrolled spread of these weapons. Through assistance, local capacities to address these issues can be strengthened.

As regards financial support to SALW related projects, the objective of the EU will be to strengthen the efforts to reduce the availability and supply of SALW to areas of conflict or potential conflict, to help to develop a range of international measures to limit the demand for SALW in such areas, and to help governments to cope with the problems these weapons cause. Such measures can be taken by the EU or at the member State level, and by acting through the appropriate regional or global institutions. The respective efforts of the member States and of the Commission will aim for complementarity, and reflect the ambition to deal with the different aspects of the small arms problem at the national, sub-regional, regional and global level.

III.C The need for targeted action

Countries with high levels of insecurity or violence cannot make effective use of development assistance. Therefore, assistance to conflict-prone countries or regions should be provided to promote security, disarmament, demobilisation and reintegration into the society of ex-combatants as an integrated part of social and economic development programmes.

In those cases where the governments are actively concerned with reducing the arms flow into and circulation of SALW within their region, the EU should co-operate with them in this task. In practice, recipient governments may lack the capacity to implement their own control programmes. Therefore, the EU is prepared to consider providing practical support for initiatives such as capacity building and training, awareness raising etc.

III.D The need for criteria for allocation of funds

Assistance from the EU for the projects that have been supported up to now has been decided on

an ad hoc basis. To ensure that all future projects are comprehensive and targeted, the member States have identified the following basic criteria, against which the EU will make a preliminary assessment of applications.

- Assistance by the EU in the field of SALW must be based on a genuine political will in the recipient state
- Assistance projects will be based on close co-operation with the authorities in the recipient state and the role of different actors should be defined.
- The proposed projects will enhance either local, national or regional security within the recipient state/region (e.g. contribute to control of small arms, confidence building measures, reconciliation, regional stability).
- In projects, which include a weapons collection component, all weapons collected should, in principle, be destroyed.
- Assistance in the field of SALW should be part of an overall development and security strategy with regard to the recipient country. In cases where this is not possible, the project proposal should outline how this activity will contribute to integrating SALW policy into wider security and development policy.
- For each project, clear objectives will be established and bench marks and time lines identified, so as to make it possible to assess impact of the project.
- Requests for assistance should clearly state how the proposed project will further the aims and objectives of the EU Joint Action.
- Requests for assistance should clearly state how the proposed project would enhance the recipient state's ability to implement existing regional or international commitments.

EU member States and the Commission will engage in a dialogue within the relevant working groups with a view to developing or deepening common criteria for EU projects.

III.E The need for thorough assessment and evaluation

It is important that the projects supported by EU funds are thoroughly assessed and evaluated. Measures to achieve this include:

- The implementation of the projects should be according to sound principles of financial management
- A final report will be submitted at the end of a project, summarising the results achieved.
- An assessment will be made in order to evaluate if its objectives have been reached and if a follow-up is needed. Such an assessment will be made at least towards the end of the project. Projects which are implemented over a long period of time or to which the financial contribution of the European Union is important will be assessed also during the period of implementation.
- The assessment will be carried out by independent experts.
- The final report and the assessment will also be used to identify lessons to be learned for future projects.